

Appendix 2- Management Action Plan Status Details as of August 31, 2024

Please note that:

- Management Action Plans marked as completed in this report will be omitted from future reports.
- This table excludes Management Action Plans that are not yet due.
- Dates under the “Updated Target Completion Date” column were provided by the client.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of August 31, 2024
HR Benefits (Phase 1)-2019 3.1 Validation of Practitioners for Short-Term Disability (STD) Update the Short-Term Disability Policy and related Standard Operating Procedures (SOP)	Q4 2019	Q2 2024	COMPLETED Completion Notes: Published Short Term Disability (STD) Claims Management standards operating procedures (SOP) on August 14, 2024 includes guidance on the acceptable registered health professionals who can sign an Attending Physician Form (APF) and a process for Human Resources (HR) to verify the individual authorizing the STD and the validity of a claim therefore reducing the risk that employees could receive short term disability benefits for which they are not eligible.
HR Benefits (Phase 1)-2019	Q4 2019	Q2 2024	COMPLETED Completion Notes: Short Term Disability (STD)

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<p>3.2 Validation of Practitioners for Short-Term Disability (STD)</p> <p>Implement a process to validate that the individual authorizing the Short-Term Disability is a licensed medical practitioner as determined by the Short-Term Disability policy.</p>			<p>Claims Management standards operating procedures (SOP) on August 14, 2024 includes requirement for Human Resources (HR) to conduct routine checks on Attending Physician Forms (APF) to verify the existence of the registered health professional who has signed the APF and the validity of the claim. In addition, adjudication of claims will be conducted by the Disability Management Specialist and City's external Medical Consultant. Criteria to determine what is reviewed externally is included in the SOP.</p>
<p>Transit Operations-2020</p> <p>2. Scrap Sales & Potential Exposure</p>	Q1 2022	Q2 2024	<p>OUTSTANDING</p> <p>Bid call is ready and going to market in Q3 2024.</p>
<p>Transit Operations-2020</p> <p>15. Attendance cards Mechanics and Stock Keepers</p>	Q4 2022	Q2 2025	<p>OUTSTANDING</p> <p>MyTime Project Team confirmed that implementation of digital timecards is planned for Q2 2025.</p>
<p>Cyber Security Assessment - 2020</p> <p>6. Presented in camera.</p> <p>Details are available upon request</p>	Q4 2021	Q4 2024	<p>OUTSTANDING</p> <p>Details are available upon request.</p>
<p>Cyber Security Assessment - 2020</p>	Q4 2021	Q4 2025	<p>OUTSTANDING</p>

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<p>11. Presented in camera.</p> <p>Details are available upon request</p>			<p>Details are available upon request.</p>
<p>Executive Expenses- 2021</p> <p>Support for converted amount of out-of-country expenses not always included</p>	<p>Q4 2021</p>	<p>Q2 2025</p>	<p>OUTSTANDING</p> <p>As a result of Internal Audit findings resulting from P-Card audit further review and revision of Administrative Directive for Employee Business Expenses (FIN-160) will be required. In addition, benchmarking analysis will be conducted to inform any additional updates to this Administrative Directive (AD). All required changes will then be provided to Corporate Policy Team for review and for CAO's approval.</p>
<p>Corporate Governance- 2021</p> <p>1.2 Implement an Enterprise Risk Management (ERM) Program</p>	<p>Q2 2022</p>	<p>Q4 2024</p>	<p>OUTSTANDING</p> <p>Enterprise Risk Management (ERM) Framework meetings were held with Leaders from all City departments in June 2024, and draft Framework document was presented to the Corporate Leadership Team (CLT) on June 27. Not all CLT members were available, and although formal CLT approval is still pending, we have moved ahead with development of the City's Key Risk Register, using the draft framework.</p>

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			Key Risk register is still on track.
<p>Corporate Governance- 2021</p> <p>1.3 Implement an Enterprise Risk Management (ERM) Program</p>	Q4 2022	Q4 2024	<p>OUTSTANDING</p> <p>Enterprise Risk Management (ERM) Framework meetings were held with Leaders from all City departments in June 2024, and draft Framework document was presented to the Corporate Leadership Team (CLT) on June 27. Not all CLT members were available, and although formal CLT approval is still pending, we have moved ahead with development of the City's Key Risk Register, using the draft framework. Key Risk register is still on track.</p>
<p>Corporate Governance- 2021</p> <p>1.4 Implement an Enterprise Risk Management (ERM) Program</p>	Q4 2022	Q4 2024	<p>OUTSTANDING</p> <p>Key Risk Register is currently being developed and is to be completed with assistance from consultant by December 31, 2024</p>
<p>Corporate Governance- 2021</p> <p>1.5 Implement an Enterprise Risk Management (ERM) Program</p>	Q4 2022	Q1 2025	<p>OUTSTANDING</p> <p>Revised based on Corporate Leadership Team (CLT) feedback-After completion of Key Risk Register, at least one Departmental Risk Register to be developed by the end of Q1 2025.</p>
<p>Corporate Governance- 2021</p>	Q4 2022	Q4 2025	<p>OUTSTANDING</p> <p>Establishment of Risk Registers for all City</p>

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1.6 Implement an Enterprise Risk Management (ERM) Program			Departments to be completed by December 31, 2025
Corporate Governance- 2021 4. Exercise of Delegation of Powers and Authorities	Q3 2021	Q4 2024	OUTSTANDING Reinitiated - report and proposed by-law to be completed by Q4 2024.
Corporate Governance- 2021 5.2 Council Code of Conduct for Council acknowledgement and review	Q1 2022	Q4 2024	OUTSTANDING Work by the Integrity Commissioner (IC) has been reinitiated following delays due to IC complaints, to be completed by Q4 2024.
Corporate Governance- 2021 6. Lack of Code of Conduct coverage for Citizen Appointees	Q1 2022	Q4 2024	OUTSTANDING Work by the Integrity Commissioner (IC) has been reinitiated following delays due to IC complaints, to be completed by Q4 2024.
Corporate Governance- 2021 7. Lack of common Policy to address complaints	Q4 2021	Q4 2024	OUTSTANDING Discussed with management the possibility of changing ownership as the Policy team does not own any of the policies.
Emergency Expenses- 2021 1.1 Invoice Approval Process Needs to be Strengthened	Q4 2021	Q4 2024	OUTSTANDING <u>Phase 1</u> : Accounts Payable Automation Software (WebCenter) went live on November 1, 2022, and

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<p>Emergency Expenses-2021</p> <p>1.2 Invoice Approval Process Needs to be Strengthened</p>	Q3 2022	Q4 2024	<p>included the following departments: Digital Innovation and IT, Fire and Emergency Management, Strategic Communications, Clerks, By-law and Enforcement</p> <p><u>Phase 2</u>, comprising Parks Operations, Facility Services and Security Services, went live on March 31, 2022.</p> <p><u>Phase 3</u>, comprising Building Design and Construction, Road Operations, Traffic, Parking and Capital Works, went live on June 5, 2023.</p> <p><u>Phase 4</u>, comprising Fleet, went live on June 26, 2023.</p> <p><u>Phase 5</u>, comprising the Call Centre, Theatre, and Community Safety and Well-Being, went live on July 24, 2023.</p> <p><u>Phase 6</u>, comprising Transit, went live on September 1, 2023.</p> <p><u>Phase 7</u>, comprising Recreation, went live on October 23, 2023.</p> <p>Due to technical issues with the development/test environment, the remaining department will go live by Q4 2024.</p>
<p>Vendor Performance Management- 2021</p>	Q1 2022	Q4 2025	OUTSTANDING

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1a Vendor Performance Evaluation Effectiveness			Due to the priority of addressing backlog projects and Purchasing and Information Technology (IT) resource capacity, the targeted completion date has been amended to Q4 2025.
Vendor Performance Management- 2021 2.2 Oversight and Utilization of Vendor Performance Data	Q4 2022	Q4 2025	
Realty Services - 2022 2. Policies and Standard Operating Procedures	Q4 2023	Q3 2024	OUTSTANDING We have a total of nine standard operating procedures (SOPs). One was finalized last year, and four were approved by the CAO last month. The remaining four are in the final stages of drafting and review with the client groups, aiming to meet the Q4 2024 deadline. Progress on the SOPs is tracked weekly. Additionally, the Real Estate Policy is being updated, with a target for council reporting by November 2024.
Realty Services - 2022 6.3 Maintaining proof of Insurance from Tenants	Q4 2023	Q3 2024	COMPLETED Tenant insurances are current, and we continue to monitor tenants' proof of insurance on a monthly basis. In 2025, Information Technology (IT) Services will facilitate the transition to a new Integrated Workplace Management System (IWMS) platform, which will streamline the correlation

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			between lease agreements and the insurance tracker.
Realty Services - 2022 8.1 Integrated Workplace Management System (IWMS)	Q3 2023	Q3 2024	COMPLETED Over the past four months, Realty staff, in collaboration with a summer student, conducted a one-time cleanup and updated the relevant fields, including the current status of active agreements.
Realty Services - 2022 8.2 Integrated Workplace Management System (IWMS)	Q3 2023	Q3 2024	COMPLETED Edit access in Integrated Workplace Management System (IWMS) is restricted to specific senior staff or team members within Realty. To ensure accuracy, we have implemented a process where one staff member inputs the details, and a senior staff member validates the information. The recommendation regarding system controls has been acknowledged, and we will work with Information Technology (IT) and Procurement to explore this further as we transition to a new IWMS in 2025.
Realty Services - 2022 9. Agreements with third-party vendors	Q1 2023	Q4 2024	OUTSTANDING The request for proposals (RFP) for the Broker Rosters was completed, and agreements were executed in mid- 2024. The team is now working with Procurement to issue the

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			RFP for Appraisers and Surveyors by the end of Q4 2024.
Realty Services - 2022 10. Physical and Electronic records/ files	Q3 2023	Q4 2024	OUTSTANDING Realty staff, in collaboration with a summer student over the past four months, have made significant progress in updating both electronic and physical files and records. This effort will continue through the end of Q4 2024 as we work towards completion.
Realty Services - 2022 11. Access to Encroachment records	Q2 2023	Q3 2024	COMPLETED Realty Services has collaborated with Bylaw Enforcement and now has access to the encroachment records. In line with the recommendations, the report based on Integrated Workplace Management System (IWMS) data is stored on the shared drive for easy access.
IT Infrastructure and Cloud Management - 2022 2.6 Presented in camera. Details are available upon request	Q4 2023	Q1 2025	OUTSTANDING Presented in camera. Details are available upon request.
IT Infrastructure and Cloud Management - 2022	Q4 2023	Q1 2025	OUTSTANDING Presented in camera.

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2.7 Presented in camera. Details are available upon request			Details are available upon request.
IT Infrastructure and Cloud Management - 2022 3.2 Presented in camera. Details are available upon request	Q4 2023	Q3 2024	OUTSTANDING Presented in camera. Details are available upon request.
IT Infrastructure and Cloud Management - 2022 4.1 Presented in camera. Details are available upon request	Q4 2023	Q1 2025	OUTSTANDING Presented in camera. Details are available upon request.
IT Infrastructure and Cloud Management - 2022 4.2 Presented in camera. Details are available upon request	Q4 2023	Q1 2025	
IT Infrastructure and Cloud Management - 2022 4.3 Presented in camera. Details are available upon request	Q4 2023	Q1 2025	
IT Infrastructure and Cloud Management - 2022	Q4 2023	Q1 2025	

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<p>4.4 Presented in camera. Details are available upon request</p>			
<p>IT Infrastructure and Cloud Management - 2022 4.5 Presented in camera. Details are available upon request</p>	Q4 2023	Q1 2025	
<p>IT Infrastructure and Cloud Management - 2022 6.1 Presented in camera. Details are available upon request</p>	Q4 2023	Q1 2025	<p>OUTSTANDING Presented in camera. Details are available upon request.</p>
<p>IT Infrastructure and Cloud Management - 2022 6.2 Presented in camera. Details are available upon request</p>	Q4 2023	Q1 2025	
<p>IT Infrastructure and Cloud Management - 2022 6.3 Presented in camera. Details are available upon request</p>	Q4 2023	Q1 2025	
<p>Limited Tendering 1.2 2) A process should be put in place to</p>	Q1 2023	Q4 2024	<p>COMPLETED This recommendation was considered for all</p>

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<p>ensure approvals are obtained for the cumulative value, including original contract value and any future extensions or renewals</p>			<p>procurement processes, in addition to Limited Tendering. In Q4 2022 the Invitational Purchase Approval Report (IPAR) / Purchase Approval Report (PAR) were updated to include optional year renewals as part of the award amount and approval authorities. The paper-based Limited Tendering form was updated Q1 2023. This recommendation, along with its impacts and other proposed options was presented and endorsed by Corporate Leadership Team (CLT) in Q3 2023. As a result, the Delegation of Department Head Purchasing Authority Administrative Directive was updated and was presented to CLT in Q4 2023. The paper-based Contract Extension form was updated in Q1 2024.</p>
<p>Limited Tendering 1.3 3) System workflow should be defined for all LT procurement approvals</p>	<p>Q1 2023</p>	<p>Q3 2025</p>	<p>OUTSTANDING Purchasing is working on digitizing the Limited Tendering form; however, a different approach has been taken focused on simplification, user-friendliness, and seamless integration on all procurement methods from inception to reporting to Council. In collaboration with Information Technology</p>

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			(IT) a project plan needs to be established and potential additional funding required. We anticipate Q4 2025 for completion of the form.
<p>Limited Tendering</p> <p>2.1 Council Report on Limited Tendering Transactions</p> <p>4) As a best practice, the City should consider lowering the threshold for reporting LT procurements to Council.</p>	Q2 2023	Q4 2024	<p>OUTSTANDING</p> <p>The Purchasing Director has been hired. Benchmarking is currently being conducted (Q3 2024) and will be presented to departmental leadership for review and the next steps. The Purchasing By-law is anticipated to be completed in Q4 2024.</p>
<p>Limited Tendering</p> <p>2.2</p> <p>5) Given the significant financial values, LT contract extensions and renewals should be clearly identified, categorized, summarized, and included in the quarterly LT reports to City Council</p>	Q1 2023	Q2 2024	<p>OUTSTANDING</p> <p>Effective March 2022, all Limited Tendering procurements have a procurement number identifier (i.e. LT2023-000) which is included in the quarterly activity report to Council. By the end of Q4 2024 an additional column will be added to the quarterly report to Council identifying the original procurement method.</p>
<p>Limited Tendering</p> <p>2.3</p> <p>6) Purchasing should define Key Performance Indicators (KPIs) including Non-Competitive to Total</p>	Q2 2023	Q1 2024	<p>COMPLETED</p> <p>Organizational Performance team is currently reporting the proportion of procurements conducted through a competitive process in the Service Plans.</p>

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Procurement and report to City Council			
<p>Limited Tendering</p> <p>3.1</p> <p>7) Formal complaint procedures should be implemented as required by the Purchasing By-law and communicated to potential bidders for all future procurements</p>	Q2 2023	Q4 2024	<p>OUTSTANDING</p> <p>Staff met with the corporate projects, policy and liaison team. Benchmarking has been conducted and an SOP is being drafted for review by relevant stakeholders.</p> <p>Feedback has been received by stakeholders and is currently with purchasing management for review and approval.</p>